

LIBRARY SERVICES & TECHNOLOGY ACT
PLAN FOR IMPLEMENTATION
IN
NORTH CAROLINA - 2003-2007

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PART I. INTRODUCTION & BACKGROUND

INTRODUCTION

This document describes the priorities, policies, and procedures for the administration of the Library Services and Technology Act (LSTA) in North Carolina. It covers the plans for the use of LSTA funds in the federal fiscal years 2003-2007, beginning on October 1, 2002 and ending September 30, 2007.

The State Library of North Carolina in consultation with the LSTA Advisory Committee developed the plan. The State Library Commission and the library community provided input and feedback that helped shape the priorities and policies reflected in the plan. Information and documents that were used in the planning include the *Library Services & Technology Act: Plan for Implementation in North Carolina 1997-2002*; *Evaluation of the Library Services & Technology Act Plan for Implementation in North Carolina 1997-2002*; *North Carolina Libraries: Building Communities-A Plan for Cooperation*; *Powerful Partners: A Strategic Plan for Library Services to Youth in North Carolina*; and *North Carolina ECHO: Vision, Principles, and Strategic Directions*.

BACKGROUND

The Library Services and Technology Act (LSTA)

September 30, 1996, saw the enactment of a new, restructured federal program to support library service. The Library Services and Technology Act (LSTA) of 1996, a section of the Museum and Library Services Act, promotes access to information resources provided by all types of libraries. Congress is currently in the process of reauthorizing LSTA for another five years, and the versions under consideration in the House and Senate propose only minor changes to the 1996 Act. (The full text of the current legislation is available at the following URL: http://www.ims.gov/about/abt_1996.htm.)

The Institute of Museum and Library Services administers the program. Of the annual appropriation for LSTA, 91.5% goes to the State Grant Program; 3.75% goes to National Leadership Grants; 1.75% to Native American Grants; and 3% for IMLS administrative costs. The State Grant Program distributes funds to the State Library Administrative Agencies (SLAA) using a population-based formula. The Act identifies two broad priorities for the state programs:

- Activities using technology for information sharing among libraries and between libraries and other community services, and
- Programs that make library services more accessible to urban and rural communities, to low income people, and to others who have difficulty using traditional library services.

State library agencies may use the appropriations to support statewide initiatives and services; they also may distribute the funds through subgrant competitions or cooperative agreements to public, academic, research, school, and special libraries in their state. The Act defines “library” this way¹:

¹ Additional criteria and definitions of eligible libraries and organizations for North Carolina are in Part III of this document.

- 1 (2) *LIBRARY.*—*The term “library” includes—*
2 *(A) a public library;*
3 *(B) a public elementary or secondary school library;*
4 *(C) an academic library;*
5 *(D) a research library, which for the purposes of this subtitle means a library that*
6 *(i) makes publicly available library services and materials suitable for scholarly*
7 *research and not otherwise available to the public; and*
8 *(ii) is not an integral part of an institution of higher education; and*
9 *(E) a private library, but only if the State in which such private library is located*
10 *determines that the library should be considered a library for the purposes of this*
11 *subtitle.*
12

13 In order to be eligible to receive a state grant under LSTA, a State Library Administrative
14 Agency must submit a five-year State Plan and certain assurances to the IMLS Director. The
15 term “State Plan” means the document that identifies a State’s library needs and sets forth the
16 activities to be taken toward meeting the identified needs supported with the assistance of
17 Federal funds made available under LSTA. The State Plan also provides assurances for
18 establishing the State’s policies, priorities, criteria, and procedures necessary to the
19 implementation of all programs under LSTA.
20

21 ***The State Library of North Carolina***

22 The State Library Administrative Agency for North Carolina is the State Library of North
23 Carolina, a division of the Department of Cultural Resources.
24

25 The State Library had its beginnings in 1812 as a collection of books in the office of the
26 Secretary of State, and the first full-time State Librarian was appointed in 1843. Another historic
27 milestone was the establishment of the North Carolina Library Commission in 1909. The
28 Commission’s primary mission was to provide assistance, advice, and counsel to: all libraries;
29 all communities that proposed to establish libraries; and all persons interested in the best means
30 of establishing and administering libraries. By action of the General Assembly in 1955, the State
31 Library and the Library Commission were merged to form a single State Library.
32

33 Today, the State Library is a division of the Department of Cultural Resources. The State
34 Library Commission, a 15-member group of citizens and professional librarians, advises the
35 Secretary of Cultural Resources and the State Librarian on priorities and policy issues.
36

37 The mission of the State Library is to provide library and information services and to assist local
38 libraries in the development of programs, services, and facilities. Under the authority of
39 Chapter 125 of the North Carolina General Statutes, the State Library of North Carolina focuses
40 its service to the people of the state in three ways:
41

- 42 • working in partnership with local communities to develop and extend public library services
43 statewide;
- 44 • planning and coordinating cooperative programs among the various types of libraries within
45 the State of North Carolina; and

- providing direct library services to a constituency that includes government officials and state agency personnel as well as the general public, with an emphasis on genealogical researchers and people who cannot use traditional print materials because of blindness or other disabilities.

The Planning Process for LSTA in North Carolina

The State Library of North Carolina's planning process for its original 1997 LSTA plan included the following stakeholders: a nine-member Interim LSTA Advisory Committee, a group of visionary leaders from the state's library community; the State Library Commission, the fifteen-member advisory body of North Carolina citizens and professional librarians; and 182 library directors from all types of libraries who participated in a series of regional meetings. The State Library staff and an external Planning Consultant were involved throughout the process, providing both support and leadership. Steps in the needs assessment and planning process included review of existing data and documents; development of a discussion paper; regional meetings; and preparation of the final plan. Since 1997, other statewide planning efforts developed with broad input from the library community and representatives of partner organizations have resulted in revisions to the plan that strengthened outcomes related to interlibrary cooperation; youth services; and access to special collections in the digital age.

In 2001, the State Library retained Douglas Zweizig and Coral Swanson to conduct the five-year evaluation of North Carolina's LSTA program as required by law. Their evaluation process included gathering data about accomplishments of the plan using reports compiled by State Library staff responsible for specific LSTA programs, interviews with staff, and a series of regional meetings with representatives of the library community. There were five meetings in April 2001, and 118 members of the library community attended. The report based on these elements is available at: <http://statelibrary.dcr.state.nc.us/lsta/lsta.htm>.

The evaluation indicated that LSTA funds had a positive impact on the development and extension of library services in North Carolina between 1997 and 2000. By and large, the library community's feedback and a review of the data indicated that North Carolina's LSTA program was successful. With the exception of the marketing and public relations project (which evoked a wide range of responses from very positive to very negative), the library community was supportive of the current program and wanted to continue existing programs. Overall, the findings included:

- Library community support for the needs identified in the 1997 process with the following modifications:
 - Library staff urged a change in the current policy that does not allow the use of LSTA funds to help libraries buy replacement hardware and software for Internet access as well as replacing automated systems.
 - While pleased with the impact of LSTA funds on assisting libraries in strengthening their capabilities in providing access to networked information, the library community asked for an increased emphasis on services to underserved and unserved North Carolinians to bring the two broad LSTA priorities into greater balance in the revised LSTA plan.

- 1 ▪ Expanding the continuing education program, which is currently limited to training for
2 technology, to include workshops and other learning opportunities on a broader range of
3 topics.
- 4
- 5 • The evaluation indicated that the following modifications were needed in the administration
6 of the program:
 - 7 ▪ Simplification of application requirements;
 - 8 ▪ Extension of the implementation period for grants to a full twelve months;
 - 9 ▪ Options for multiyear projects when appropriate;
 - 10 ▪ Improved communication with the library community about LSTA, both about grant
11 opportunities as well as the results of the program.
 - 12
- 13 • In its review of the evaluation results and development of the revised plan, the LSTA
14 Advisory Committee identified these elements as important areas of emphasis and additions
15 to the guiding principles for LSTA in North Carolina:
 - 16 ▪ Articulating a vision for the overall LSTA program;
 - 17 ▪ Emphasizing collaboration in all aspects of the program;
 - 18 ▪ Encouraging innovation;
 - 19 ▪ Assisting librarians in their efforts to be stronger leaders and advocates for libraries and
20 their value in today's society;
 - 21 ▪ Continuing efforts to improve planning, evaluation, and communication.
 - 22

23 This revised LSTA plan is designed to respond to the findings of the evaluation and to build on
24 the progress of the first five years of LSTA funding in North Carolina. Many aspects of the
25 original program continue, and new elements have been added to broaden outreach and respond
26 to other needs identified by the library community. The planning process for LSTA in North
27 Carolina is ongoing, and this plan will be modified during the five-year period. The State
28 Library and the LSTA Advisory Committee will continue to gather information on needs and the
29 current status of services to inform both planning and evaluation activities.

PART II. FUTURE DIRECTIONS

This part of the document outlines the vision, guiding principles, goals, and outcomes that will guide programs and decisions for LSTA in North Carolina for the next five years.

Vision

LSTA funds will serve as a catalyst for change and improvement to achieve this vision:

With leadership from libraries and librarians statewide, every North Carolinian has ready access to comprehensive library and information resources and to excellent library service.

Guiding Principles

A set of principles emerged during the original LSTA planning process in 1997. They were incorporated into the plan to guide the ongoing planning, policy development, and implementation of LSTA in the state by:

- Serving as a consistent guide for decision-making;
- Helping communicate plans and decisions to customers and stakeholders.

For this second planning cycle, the LSTA Advisory Committee chose to continue the practice of articulating the values and beliefs that will guide decision-making. The principles from the 1997 plan have been reviewed, revised, and expanded for this plan.

1. Vision Driven

The state's LSTA program will be guided by a vision for the future of library service in North Carolina. Decisions will be based on that desired future, with the federal program focused on achieving that vision. The plan itself will have an overall vision, and each goal will have a vision statement.

2. A Balance of Priorities

For implementation of LSTA in North Carolina, the priorities outlined in the federal legislation are interpreted in the following way to respond to North Carolina's needs:

- Improving access to library and information resources for all North Carolinians through cooperation, collaboration, and effective use of technology, and
- Assuring that all North Carolinians have access to excellent library services that meet their needs.

North Carolina's LSTA program will continue to balance these two priorities. The initial plan had a heavy emphasis on the use of technology in libraries, and the 2001 evaluation indicated that people felt that there was a need to expand funding for outreach programs in this planning cycle. As a result, during the upcoming five years, there will be an increased emphasis on using LSTA funding to enhance library services for North Carolinians who are currently unserved and underserved.

3. *Fostering Innovation and Equity*

North Carolina's library community believes that the LSTA program can result in positive, focused change if the program consciously manages the issues of equity and innovation. There will be a dual emphasis in both the planning and implementation of the LSTA program:

- One is an emphasis on encouraging innovation and change through the funding of "leading edge" projects, supported through innovation grants and statewide leadership grants.
- A second aspect is to fund "trailing edge" projects that improve the overall level of library service statewide by encouraging participating libraries to achieve equity. "Equity" is defined as meeting standards, including national, state, or special standards and guidelines developed by the State Library or other organizations as a guide for libraries statewide.

4. *A Coordinated Approach*

Key LSTA program objectives will be coordinated with the State Library of North Carolina's mission and goals to boost the impact of LSTA funds and to foster positive development of statewide and local library and information services.

The stated goals of the State Library are:

- To develop and extend public library service for North Carolinians in partnership with local communities.
- To coordinate and support statewide library network activities to assure equity of access to library and information resources for all North Carolinians.
- To provide library and information resources for North Carolinians to promote knowledge, education and business.

5. *Build Cooperation and Collaboration*

The priorities and the process for LSTA implementation must continue to build a strong infrastructure of understanding, shared goals, and healthy working relationships among all types of libraries as well as an expanded, more visible role for those libraries in the communities they serve.

In implementing the first LSTA plan, the library community made progress in creating partnerships among North Carolina's libraries as well as between libraries and other organizations and institutions in their communities. During the next five years, there will be an increased emphasis on cooperation and collaboration in the grant programs. Grant applications that demonstrate an integration of those concepts into their programs will be given preference in most funding decisions.

6. *Focus Federal Funding*

Both federal requirements and the vision for LSTA in North Carolina indicate that federal funds must (1) leverage local dollars and (2) create incentives for the continuous improvement of library services statewide.

The legislation emphasizes accountability. There is a strong requirement in the law for evaluation to demonstrate the impact of these federal funds. As the agency responsible for

administering LSTA in North Carolina, the State Library must be able to document the impact of LSTA funds in order to meet federal requirements.

Federal funding is not meant to fund ongoing operations. It is designed to serve as a catalyst for the creation and improvement of library services that can be sustained over time with state and local funds.

7. Cultivating Stronger Leadership & Advocacy

To respond to the continuing need to promote the value of libraries in today's society, the LSTA program will be designed to take advantage of opportunities to:

- Build leadership skills within the library community;
- Give libraries greater visibility in communities and institutions; and
- Develop skills and tools that librarians can use to advocate for their libraries and their programs.

8. Developing Effective Planning, Evaluation & Communication

The management of the LSTA program will aim to model strong planning, management, evaluation, and communication. In addition, training opportunities and LSTA program requirements will be developed to enable library staff to improve their skills. Librarians will be better able to promote the value of libraries and gain credibility within their institutions and their communities if they demonstrate strong skills in planning, managing, and evaluating their libraries.

GOALS

This section outlines the goals, outcomes, outputs and measures that will guide the use of LSTA in North Carolina. The four goals with the vision for each are:

- **GOAL #1: ACHIEVING EQUITY IN LIBRARY SERVICE**
 - **VISION FOR SUCCESS:** All North Carolinians will have access to excellent library service without barriers.
- **GOAL #2: CREATING A CLIMATE FOR INNOVATION & CHANGE**
 - **VISION FOR SUCCESS:** Every North Carolina library will seek to continuously improve its services and strive to create excellent, cutting edge library services for all North Carolinians in response to changing needs, opportunities, and environments.
- **GOAL #3: LIBRARIES AND LIBRARIANS LEAD IN SUPPORT OF LEARNING AND DISCOVERY FOR CHILDREN AND TEENS**
 - **VISION FOR SUCCESS:** With leadership from libraries and librarians in every North Carolina community children and teens will learn to read, love to learn, and have access to the world.

- **GOAL #4: ENABLING THE STATE LIBRARY TO SERVE AS A LEADER IN LIBRARY AND INFORMATION SERVICES**
 - **VISION FOR SUCCESS:** North Carolina's libraries will have support and leadership from the State Library in planning, evaluation, collaboration, professional development, and the use of technology to manage and deliver library services.

The section for each goal articulates:

- Outcomes that define the intended benefits for library users;
- For each outcome, the strategic focus describes the overall focus of a group of outputs;
- For each outcome, outputs, which are the services, programs, and/or products designed to support progress toward the goal
- Under each output, the measures that will help determine the progress of the LSTA program over the next five years in moving libraries in North Carolina toward the goals, outcomes and outputs.

GOAL #1: ACHIEVING EQUITY IN LIBRARY SERVICE

VISION FOR SUCCESS: All North Carolinians will have access to excellent library service without barriers.

Outcome 1.1: North Carolinians have access to electronic information resources through their libraries.

Strategic Focus: Build library information technology infrastructure.

1.1.A Output: Support library efforts to have the information technology infrastructure to provide access to networked information for their users.

- **Measure #1:** Percentage of public and academic libraries meeting minimum requirements for public access Internet workstations.
 - Data source & interval: Annual Statistical Report for North Carolina Public Libraries and biennial LSTA survey for academic libraries.
 - Current level: In April 2002 biennial LSTA Survey:
 - Public Libraries: the standard is 1 workstation per 5,000 population in legal service area; 87% meet the minimum standards. The statewide average number of workstations is 2.3 per 5,000 population, and the average number for all libraries is 2.3 per 5,000 population.
 - Academic Libraries: the standard is 1 workstation per 100 FTE students; 55% of responding academic libraries meet the standard. The statewide average is 2.1 per 100 FTE, and the average of all responding libraries is 1.3 per 100 FTE.
 - Target level: 100% of public libraries meet the standard, and 75% of all academic libraries.
- **Measure #2:** Percentage of reporting public and academic libraries with adequate Internet connectivity and internal hardware/software.
 - Data source & interval: Biennial LSTA survey.

- Current level: 55% (35 of 64) survey respondents responded that they were satisfied with current bandwidth.
- Target level: 80% of reporting libraries have adequate Internet connectivity.
- **Measure #3:** Percentage of reporting public and academic libraries with automated systems that meet minimum standards.
 - Data source & interval: Biennial LSTA survey.
 - Current level: 76% (65 of 85) survey respondents indicated that their current automated system met the minimum standards for four key features: capability to export in MARC format, ability to show circulation status in the OPAC, support for a graphical interface, and ability to access the system via the Internet.
 - Target level: 85% of reporting libraries have automated systems that meet minimum standards.
- **Programs & Initiatives:**
 - Carry out surveys.
 - Basic Equipment Grants
 - Internet Infrastructure Improvement Grants
 - Automated System Grants

Strategic Focus: Improve electronic content available through North Carolina's libraries.

1.1.B Output: Continue to develop NC LIVE² content.

- **Measure #1:** New content for NC LIVE.
 - Data source & interval: Resources purchased annually from list of recommended items prepared by the NC LIVE Resource Advisory Committee and approved by the NC LIVE Librarians Working Group.
 - Current level: In 2002, funds were available to purchase all the resources on the list.
 - Target level: Use the funds available at the end of the fiscal year to support NC LIVE priorities.
- **Programs & Initiatives:**
 - Based on recommendations from the NC LIVE Librarians' Working Group (LWG), use unobligated LSTA funds each year to acquire information resources that can be obtained as one-time purchases.³

Strategic Focus: Offer continuing education for technology.

1.1.C Output: Offer continuing education for library staff to develop knowledge and skills to support user access to networked information.

- **Measure #1:** Number of participants in continuing education activities in support of NC LIVE and access to networked information.

² NC LIVE is the statewide electronic library that provides access to licensed resources and a limited number of free resources for users of North Carolina's public and academic libraries. The acronym stands for: North Carolina Libraries for Virtual Education.

³ State funds pay annual licensing costs for resources that are only available on a subscription basis and cannot be purchased and owned by NC LIVE.

- Data source & interval: Annual count of participants in continuing education activities.
 - Current level: In 2001-2002, 658 library staff participated in continuing education activities supported with LSTA funds.
 - Target level: Average annual attendance of 725 library staff participating in LSTA-funded continuing education activities.
- **Measure #2:** Percentage of continuing education participants who report that they incorporated learning from continuing education activities into their daily work in support of NC LIVE and access to networked information.
 - Data source & interval: Follow-up survey sent six weeks after each session to participants in LSTA-funded continuing education activities.
 - Current level: In Spring 2002, of those responding (95 out of 331), 97% agreed that they had incorporated learning from the continuing education activity into their job responsibilities.
 - Target level: Maintain a rate of at least 95% of respondents who agree the training is being incorporated into their jobs.
 - **Programs & Initiatives:**
 - Continuing education for library staffs to support access to NC LIVE services.
 - Continuing education for library staffs on use of information technology to support access to networked information.

Outcome 1.2: North Carolinians have access to library services relevant to their needs.

Strategic Focus: Serve people with disabilities.

1.2.A. Output: Assist the efforts of North Carolina libraries of all types to offer access to networked information for users with disabilities.

- **Measure #1:** Number of library outlets that provide equipment and software to support access to networked information for library users with disabilities.
 - Data source & interval: Biennial LSTA Survey.
 - Current level: To be determined in next survey.
 - Target level: To be determined following next survey.
- **Measure #2:** Number of library systems that provide equipment and software to support access to networked information for library users with disabilities.
 - Data source & interval: Biennial LSTA Survey.
 - Current level: To be determined in next survey.
 - Target level: To be determined following next survey.
- **Programs & Initiatives:**
 - Development of guidelines to aid local libraries.
 - Information gathering to determine current level of services.
 - Adaptive Technology Grants

Strategic Focus: Develop and expand community-centered services.

1.2.B. Output: Aid libraries of all types in projects to develop or expand services for unserved and underserved groups identified through community-based needs assessment and planning.

- **Measure #1:** Number of libraries that receive grants to implement a community-based needs assessment and planning process to develop service plans for one or more target populations that are unserved or underserved.
 - Data source & interval: Number of libraries that receive LSTA funds to support community-based needs assessments and planning activities over the five-year period.
 - Current level: Between 1999 and 2001, the State Library awarded 42 LSTA grants for planning and needs assessment (12 Hispanic; 30 Powerful Partners) to 34 public and 8 school libraries.
 - Target level: Award 80 grants over the five-year period to public, school, and academic libraries.
- **Measure #2:** Number of libraries that receive grant funds to develop or expand services and programs based on community-based needs assessment and planning.
 - Data source & interval: Number of libraries that receive LSTA grants to support new or expanded services based on community-based needs assessment and planning over the five-year period.
 - Current level: Between fiscal years 2001 and 2003, the State Library awarded 44 LSTA grants (19 Hispanic Services; 25 Powerful Partners Collaboration), to 39 public and 5 school libraries.
 - Target level: Award 75 grants over the five-year period.
- **Programs & Initiatives:**
 - Planning grants⁴.
 - Continuing education activities.
 - Grants to support development of services and programs.

Outcome 1.3: North Carolina libraries work together to enhance services and access to information so that the people of North Carolina are empowered by knowledge.

Strategic Focus: Support and encourage library collaboration.

1.3.A. Output: Encourage and aid libraries that participate in interlibrary loan to have current holdings in OCLC's WorldCat database, which serves as North Carolina's union catalog.

- **Measure #1:** Percentage of libraries that have current holdings in OCLC's WorldCat.
 - Data source & interval: Baseline data being gathered in consultation with SOLINET & OCLC.
 - Current level: To be determined.
 - Target level: To be determined.

⁴ Planning grants are funded under Outcome 1.4.

1 • **Programs & Initiatives:**

- 2 ▪ Grants to provide batchloading for selective users.
3 ▪ Continued monitoring of OCLC developments.
4

5 **1.3.B. Output: Help libraries convert their catalog records for unique materials to**
6 **MARC format and enter them in OCLC WorldCat.**

- 7 • **Measure #1:** Complete the needs assessment & planning to support creation of catalog
8 records and entering them into OCLC WorldCat.
9 ▪ Data source & interval: Completion of needs assessment & planning by June 30, 2003.
10 ▪ Current level: Partial data collected.
11 ▪ Target level: Completion.
12

13 • **Programs & Initiatives:**

- 14 ▪ Information gathering & planning.
15 ▪ Development of grant program.
16

17 **Outcome 1.4: North Carolina's library leaders have access to the skills,**
18 **information, tools, and resources they need to provide excellent library service.**
19

20 ***Strategic Focus: Develop & assist library leaders, managers & staff.***

21 **1.4.A. Output: Assess needs and plan for a program of continuing education and**
22 **staff development that meets library staff needs to enable them to provide**
23 **excellent library services.**

- 24 • **Measure #1:** Complete a continuing education plan based on an evaluation of current
25 activities and a needs assessment.
26 ▪ Data source & interval: Plan is completed based on needs assessment.
27 ▪ Current level: No statewide assessment in over 5 years.
28 ▪ Target level: Have current information available by July 1, 2003.
29

30 **1.4.B. Output: Provide library managers with the resources they need to plan and**
31 **evaluate library services.**

- 32 • **Measure #1:** Percentage of libraries with current strategic or long-range plans for service.
33 ▪ Data source & interval: Survey needed to establish base line.
34 ▪ Current level: To be determined.
35 ▪ Target level: To be determined.
36
37 ▪ **Measure #2:** Percentage of libraries with technology plans.
38 ▪ Data source & interval: Survey needed to establish baseline.
39 ▪ Current level: To be determined.
40 ▪ Target level: To be determined.
41

42 **1.4.C. Output: Offer library leaders and managers resources, tools, and learning**
43 **opportunities to help them strengthen their efforts to educate decision makers,**
44 **opinion leaders, library users, and library non-users about library services and**
45 **their value.**

- **Measure #1:** Resources, tools, and learning opportunities are identified and tested to determine their effectiveness.
 - Data source & interval: Completion of identification and testing of resources, tools, and learning opportunities.
 - Current level: No clear indication of how to proceed.
 - Target level: In five years, the State Library will have identified and tested activities to help librarians educate various target groups about the value of libraries.
- **Programs & Initiatives:**
 - Complete planning for statewide continuing education to meet non-technology needs.
 - Provide planning grants.
 - Continue statewide leadership projects as appropriate.
 - Develop new plans and programs in consultation with the Ambassadors, a group of representatives of local libraries with experience in working with library communications activities.

GOAL #2: CREATING A CLIMATE FOR INNOVATION & CHANGE

VISION FOR SUCCESS: Every North Carolina library will seek to continuously improve its services and strive to create excellent, cutting edge library services for all North Carolinians in response to changing needs, opportunities, and environments.

Outcome 2.1⁵: All of North Carolina's cultural institutions work together to make the state's unique cultural and historical resources accessible for the education and enjoyment of people of all ages.

Strategic Focus: Assess collections

2.1.A. Output: Assess the current status of collections and resources in the state's cultural institutions, the current status of their preservation and access, and their needs and priorities while building an inter-institutional community.

- **Measure #1:** Cultural repositories in all 100 counties are identified, the survey is completed, and summary meeting held.
 - Data source & interval: Reports from survey staff submitted monthly.
 - Current level: 52 counties.
 - Target level: 100 counties.

- **Programs & Initiatives:**
 - Statewide Leadership Grant

Strategic Focus: Create digital access

2.1.B. Output: Improve access to resources held by North Carolina's cultural institutions, with an emphasis on using new digital technologies and the Internet.

- **Measure #1:** Number of digital images accessible through the NC ECHO portal.

⁵ Outcome 2.1 and the various outputs are based on the vision and plans developed for the Exploring Cultural Heritage Online (NC ECHO) program.

- Data source & interval: Number of images added annually as a result of LSTA grant funds as reported in annual reports.
- Current level: To be determined.
- Target level: To be determined.
- **Measure #2:** Number of finding aids searchable online.
 - Data source & interval: Number of finding aids that are mounted online annually as a result of LSTA grant funds as reported in annual reports.
 - Current level: To be determined.
 - Target level: To be determined.
- **Measure #3:** Percentage of NC ECHO partner institutions of each type (libraries, archives, museums, historical societies) with holdings accessible in digital format.
 - Data source & interval: Review and analysis of online resources and NC ECHO survey.
 - Current level: Of the 206 institutions identified as “library/special collection”, thirty-two (32), or 15.5%, have digital objects online. Of the 317 institutions identified as “museum” or “historical society,” thirteen (13), or 4%, have digital objects online.
 - Target level: To be determined.
- **Measure #3:** Number of lesson plans created by classroom teachers who use repurposed NC ECHO resources in their lesson plans.
 - Data source & interval: Annual review of lesson plans available through LEARN NC⁶
 - Current level: None.
 - Target level: 40 lesson plans.
- **Programs & Initiatives:**
 - NC ECHO Digitization Grants
 - NC ECHO Digitization Starter Grants
 - Statewide Leadership Grant

Strategic Focus: Develop cultural caretakers’ skills and knowledge.

2.1.C. Output: Provide North Carolina’s cultural caretakers with continuing education to enable them to gain the skills and information they need to collect, preserve, and provide access to the cultural resources of North Carolina.

- **Measure #1:** Number of LSTA-funded workshops offered annually for cultural caretakers to develop their ability to collect, preserve, and provide access to the cultural resources of North Carolina.
 - Data source & interval: Annual project reports.
 - Current level: In 2001-02, there were: 2 Digitization Institutes and 2 “Foundations for Digitization” workshops. The plans for 2002-03 include 2 Digitization Institutes, 2 “Foundations for Digitization: Planning and Policies” workshops, and 2 EAD workshops.

⁶ LEARN North Carolina, a program of the University of North Carolina at Chapel Hill School of Education, is a statewide network of educators using the power of the Internet to improve K-12 education in North Carolina. Their Web site (www.learnnc.org) provides a collection of resources designed by experienced North Carolina educators for classroom teaching and learning and for professional development.

- Target level: Maintain at least the current level.
 - **Measure #2:** Number of participants from each NC ECHO cultural community in LSTA-funded workshops to support collecting, preserving, and providing access to the cultural resources of North Carolina.
 - Data source & interval: Annual project reports.
 - Current level: Not available.
 - Target level: To be determined.
 - **Measure # 3:** Percentage of NC ECHO continuing education participants who report having incorporated skills and information from the continuing education activities into their regular work six weeks after the session.
 - Data source & interval: Survey of NC ECHO workshop participants six weeks after training.
 - Current level: Data not currently collected.
 - Target level: At least 75% of the participants will incorporate learning into their daily work.
 - **Programs & Initiatives:**
 - Statewide Leadership Grant
- Strategic Focus: Celebrate and communicate NC ECHO's accomplishments.***
- 2.1.D. Output: Inform members of the cultural community, the general public, and the funding agencies about NC ECHO's successes, while drawing attention to the challenges faced by the partner institutions and celebrating their resources and the commitment of their custodians.**
- **Measure #1:** Number of presentations made annually to groups.
 - Data source & interval: Reports prepared at least quarterly by project staff.
 - Current level: 16 presentations made in 2001-02.
 - Target level: At least 16 presentations annually.
 - **Measure #2:** Number of newspaper and magazine articles appearing annually.
 - Data source & interval: Reports prepared at least quarterly by project staff.
 - Current level: 15 in 2001-02.
 - Target level: At least 10 newspaper and magazine articles annually.
 - **Measure #3:** Completion and dissemination of a report on the results of the survey and NC ECHO programs.
 - Data source & interval: To be accomplished by 2007.
 - Current level: Not applicable.
 - Target level: Report completed and widely disseminated.
 - **Programs & Initiatives:**
 - Statewide Leadership Grant

Outcome 2.2: North Carolinians have access to innovative library services.

Strategic Focus: Encourage innovative library services.

2.2.A. Output: Provide innovative library services, including the use of technology to expand and improve services.

- **Measure #1:** Number of innovation grant projects completed.
 - Data source & interval: Number of grant projects completed by end of five-year period.
 - Current level: One statewide leadership project (My Library project) implemented under previous five-year LSTA plan, and the virtual reference demonstration project is currently underway with funding from a statewide leadership grant.
 - Target level: 5 projects completed between 2003 and 2007.
- **Measure #2:** Number of grants that result in formal reports shared with the library community.
 - Data source & interval: Annual project reports.
 - Current level: 0
 - Target level: 5
- **Programs & Initiatives:**
 - Develop innovation grant program.
 - Make innovation grants available for the 2004-2005 year.
 - Statewide Leadership Grants

Outcome 2.3: North Carolinians have access to library services and programs developed by innovative partnerships formed to respond to community needs.

Strategic Focus: Encourage innovative partnerships.

2.3.A Output: Foster innovative partnerships among libraries and with other agencies to develop library services that respond to community needs.

- **Measure #1:** Number of innovative partnership projects completed.
 - Data source & interval: Number of grant projects completed by end of five-year period.
 - Current level: 0
 - Target level: 5 projects completed between 2003 and 2007.
- **Measure #2:** Number of grants that result in formal reports shared with the library community.
 - Data source & interval: Annual project reports.
 - Current level: 0
 - Target level: 5
- **Programs & Initiatives:**
 - Develop innovation grant program.
 - Make grants available beginning in 2004-2005.

GOAL #3: LIBRARIES AND LIBRARIANS LEAD IN SUPPORT OF LEARNING AND DISCOVERY FOR CHILDREN AND TEENS

VISION FOR SUCCESS: With leadership from libraries and librarians in every North Carolina community children and teens will learn to read, love to learn, and have access to the world.

Outcome 3.1: North Carolina's children and teens benefit from the combined resources and efforts of a community focused on education and the healthy development of youth.

Strategic Focus: *Encourage and support community partnerships.*

3.1.A Output: Form collaborative community partnerships between libraries and agencies and organizations to respond to the needs of children and teens.

- **Measure #1:** Percentage of public library outlets and school library media centers that have collaborated with other child-related community agencies (e.g., schools, daycare centers, Head Start and Smart Start programs).⁷
 - Data source & interval: Statewide survey every 5 years.
 - Current level: In 1998, 63% of 279 public library outlets reported they collaborated with daycare centers and 36% of 281 public library outlets reported they collaborated with Head Start programs. An average of 27% of public library outlets reported they collaborated with other agencies in the community, including schools, to provide programs to youth.
 - Target level: To be determined.
- **Programs & Initiatives:**
 - Powerful Partners Collaboration Grants

Strategic Focus: *Foster community-based planning*

3.1.B Output: Provide services based on long-range, community-based plans that address the quality of collections, adequate staff, and adequate facilities for library services to children and teens in public and school libraries.

- **Measure #1:** Percentage of reporting public library systems with plans that included youth services.
 - Data source & interval: Statewide survey every 5 years.
 - Current level: In 1998, 68% of reporting public library systems (30 of 44) had a long-range plan that included goals and objectives for youth services.
 - Target level: To be determined in consultation with the Youth Services Advisory Committee.
- **Measure #2:** Percentage of Local Education Agencies (LEAs)⁸ with plans for library media services.
 - Data source & interval: Statewide survey every 5 years.

⁷ In the original survey, the question was only posed to public libraries; however, Powerful Partner grants have been made available to schools, too.

⁸ "Local Education Agencies", or LEAs, is used in the education community as a synonym for school district.

- Current level: In 1998, 30% of the reporting LEAs (17 of 56) had a plan for library media services.
- Target level: To be determined in consultation with the Youth Services Advisory Committee.

- **Programs & Initiatives:**

- Planning grants.

Strategic Focus: Communicate the value of library services for children and teens.

3.1.C Output: Make libraries one of the first community agencies that people think of when they identify the community services that contribute to the education of the state's young people.

- **Measure #1:** Ranking of marketing as a perceived strength among libraries.
 - Data source & interval: Statewide survey every 5 years.
 - Current level: In 1998, marketing was the 5th most frequently cited weakness cited in response to an open-ended question.
 - Target level: Marketing is identified as a perceived strength by libraries responding to the survey.

Measure #2: Change in the public's perception about the role of libraries in the lives of North Carolina's children.

- Data source & interval: Repeat benchmark questions from 1999 statewide poll in 2004. (See information on earlier study at <http://statelibrary.dcr.state.nc.us/ld/youth/vbpps/research.htm>)
- Current level: Libraries not viewed as an agency that supports the education of North Carolina's children, and no understanding of the role that professional librarians play.
- Target level: Libraries are viewed as part of each community's "education infrastructure," and librarians are viewed as professionally trained experts.

- **Programs & Initiatives:**

- Statewide Leadership Grant

Outcome 3.2: North Carolina's children and teens have access to the full range of ideas and information.

Strategic Focus: Improve print collections in school library media centers.

3.2.A Output: Enable school library media centers to offer accurate, current, and attractive print resources.

- **Measure #1:** Median copyright date of school library media center book collections.
 - Data source & interval: Statewide survey every 5 years.
 - Current level: Question not asked on original survey.⁹
 - Target level: Median copyright date of 1990.

⁹ Participants in the 1998 statewide leadership conference reported studies that showed an average copyright date of 1976.

- **Measure #2:** Annual expenditures per student for book collections.
 - Data source & interval: Statewide survey every 5 years.
 - Current level: In 1998, median expenditure for books per student was \$8.45.
 - Target level: Median expenditure of \$10 per student for books.

- **Programs & Initiatives:**
 - School Library Collection Development Grants

Outcome 3.3: North Carolina's children and teens have access to programs and services that stimulate their imagination, curiosity, and growth.

Strategic Focus: Offer age-appropriate programs for children and teens.

Output 3.3.A: Enable public libraries to provide programs, services, and resources that are appropriate to the developmental needs of children and teens.

- **Measure #1:** Median number of young adult/teen (ages 12-18) programs offered in a year by public library outlets in North Carolina.
 - Data source & interval: Statewide survey every 5 years.
 - Current level: In 1998, 50% of public library outlets offered at least one program a year.
 - Target level: To be determined in consultation with the Youth Services Advisory Committee.
- **Measure #2:** Ranking of service to teens as a perceived strength in library services to youth.
 - Data source & interval: Statewide survey every 5 years.
 - Current level: In 1998, services to young adults were the 2d most frequently cited perceived weakness.
 - Target level: To be determined in consultation with the Youth Services Advisory Committee.
- **Measure #3:** Median number of public library programs for children (11 years and under) offered in a year by public library outlets.
 - Data source & interval: Statewide survey every 5 years.
 - Current level: In 1998, median number of programs for school-age children offered per reporting public library outlet in a year was 16 and for preschoolers, 66.
 - Target level: To be determined in consultation with the Youth Services Advisory Committee.
- **Programs & Initiatives:**
 - Continuing education on child and teen development.
 - Grants to support programs and services that are responsive to the developmental needs of school-age children and teens, with priority given to collaborative projects.

Outcome 3.4: North Carolina's children and teens interact with adults who foster and guide their development as readers and learners.

Strategic Focus: Assure adequate staff in school and public libraries.

- **3.4.A Output: Develop a plan to improve the recruitment and retention of school library media specialists and professional librarians to lead youth services programs in public libraries.**
- **Measure #1:** Completion of plan and incorporation of outcomes in the LSTA plan.
 - Data source & interval: Plan is completed by 2004.
 - Current level: Planning in early stages.
 - Target level: Complete plan and incorporate outcomes in the LSTA plan in 2004.
- **3.4.B Output: Offer continuing education to enable library staff responsible for youth services to have up-to-date knowledge, skills, and abilities to deliver library services.**
- **Measure #1:** Percentage of youth services staff from public libraries participating in 8 hours of continuing education or staff development related to youth services annually.
 - Data source & interval: Statewide survey every 5 years.
 - Current level: Not available.
 - Target level: 33%
- **Programs & Initiatives:**
 - Continue to plan for both recruitment of professionals and continuing education.

GOAL #4: ENABLING THE STATE LIBRARY TO SERVE AS A LEADER IN LIBRARY AND INFORMATION SERVICES

VISION FOR SUCCESS: North Carolina's libraries will have support and leadership from the State Library in planning, evaluation, collaboration, professional development, and the use of technology to manage and deliver library services.

Outcome 4.1: North Carolina's libraries have support and leadership to enable them to deliver excellent library services.

Strategic Focus: Lead and support the use of library information technology.

4.1.A Output: Establish plans, standards, and guidelines for information technology to help develop and extend library services.

- **Measure #1:** Number of plans, standards & guidelines developed and/or updated.
 - Data source & interval: Annual review of new and/or updated plans, standards, and guidelines.
 - Current level: Six.¹⁰
 - Target level: Maintain at least current level, updating and adding as appropriate.

¹⁰ Minimum Number of User Workstations (per Population or FTE); Minimum Specifications for New Purchases (user Internet workstations); Connectivity/Bandwidth Guidelines; *NC ECHO Guidelines for Digitization* (includes scanning, storage, and use of metadata); Digitization grant equipment purchase guidelines; *Minimum Standards for Library Automation in North Carolina*.

1 **4.1.B Output: Provide technical assistance and information about using**
2 **information technology to manage and deliver library services.**

- 3 • **Measure #1:** Conduct a needs assessment of current library community issues and
4 concerns to determine the scope of assistance required, with periodic follow-up surveys to
5 determine customer satisfaction.
6 ▪ Data source & interval: Periodic customer surveys
7 ▪ Current level: No information available.
8 ▪ Target level: To be determined after survey is completed and a plan in place.
9
10 • **Measure #2:** Number of technology-related briefings, presentations, and workshops
11 presented by the State Library staff to the library community.
12 ▪ Data source & interval: Annual count of briefings, presentations, and workshops
13 ▪ Current level: In 2002, State Library staff provided 8 technology-related briefings for
14 various library groups.
15 ▪ Target level: Average of 10 briefings or presentations a year over the five-year period.
16
17 • **Programs & Initiatives:**
18 ▪ Statewide Leadership Grants
19

20 **Outcome 4.2: North Carolinians have access to state government information in**
21 **all formats.**

22
23 ***Strategic Focus: Assure access to and preservation of state government***
24 ***information in digital format.***

25 **4.2.A Output: Create a plan to preserve and provide access to state government**
26 **information that is “born digital.”**

- 27 • **Measure #1:** Plan is completed.
28 ▪ Data source & interval: Monitor plan completion.
29 ▪ Current level: No information, but statewide leadership grant awarded for 2002-2003.
30 ▪ Target level: Complete plan.
31
32 • **Programs & Initiatives:**
33 ▪ Statewide Leadership Grant
34

35 **Outcome 4.3: North Carolina libraries use LSTA funds in a manner based on**
36 **inclusive planning and effective, outcome-focused evaluation.**

37
38 ***Strategic Focus: Enable stakeholders to participate in planning.***

39 **4.3.A Output: Stakeholders from the library community and the library user**
40 **community participate in the development of plans that support the LSTA**
41 **program in North Carolina.**

- 42 • **Measure #1:** Number of people who participate in planning activities annually.
43 ▪ Data source & interval: Annual counts.
44 ▪ Current level: At least 24 (LSTA Advisory Committee and State Library Commission
45 members)

- Target level: 150 stakeholders each year.

- **Programs & Initiatives:**

- Statewide Leadership Grants

Strategic Focus: Assure effective evaluation.

4.3.B Output: Develop and disseminate effective evaluation methods for LSTA projects and programs.

- **Measure #1:** Evaluation plan is developed and disseminated.

- Data source & interval: Monitor development.
- Current level: No current plan.
- Target level: Clear, effective evaluation plan in place.

- **Programs & Initiatives:**

- Statewide Leadership Grants

PART III. IMPLEMENTATION STRATEGIES, POLICIES, & PROCEDURES

IMPLEMENTATION STRATEGIES

Customer & Stakeholder Involvement

The State Library is committed to assuring that the planning and implementation of LSTA in North Carolina are based on a cycle of customer and stakeholder involvement and feedback.

There are two primary customer groups that should benefit from LSTA in the state:

- The libraries that propose and deliver services on behalf of their defined customer constituency groups,
- All residents of North Carolina who are users or potential users of library services statewide.

The State Library involves LSTA's stakeholders in an ongoing process of dialogue and feedback. They are distinguished from customers as those who have a "stake," or an interest, in the development of a quality, effective LSTA program but who are not necessarily customers of the program. Examples of stakeholder groups include the State Library Commission, the North Carolina Library Association, and the North Carolina Public Library Directors Association.

The State Library uses a variety of approaches to involve stakeholders, members of the library community (library staff, governing board members, and Friends) and library users in planning, policy development, and other decisions to implement LSTA in North Carolina. The State Library's goal is to assure a responsive LSTA program and to give people an opportunity to feel that they have a stake in the program's success.

Here are the ways in which a variety of people will be given a role in shaping North Carolina's LSTA program:

- ***LSTA Advisory Committee***

The nine-member LSTA Advisory Committee provides leadership for the federal library program in North Carolina. Based on information from multiple sources, including a variety of stakeholder groups, the committee has responsibility for advising the State Librarian on LSTA needs, plans, priorities, and policies; annual programs and funding priorities; and evaluation of the LSTA program. The members are selected to assure that members are leaders in the library community and broadly representative of all types of libraries and library users as well as of the characteristics of North Carolina and its people.

The members' terms are staggered, beginning on July 1 of each year. The State Librarian appoints three new members to three-year terms each year. The process has three steps: (1) nominations from the library community including key stakeholder groups, (2) review of nominations by the existing LSTA Advisory Committee based on a series of criteria, and (3) appointment by the State Librarian from the pool of nominees forwarded by the LSTA Advisory Committee following their review.

1 The committee elects its own chair from the membership in the Spring of each year for a
2 term that begins on July 1 and ends the following June 30. A person may serve two one-year
3 terms as chair.

4
5 • ***State Library Commission***

6 The fifteen-member State Library Commission periodically provides feedback to the State
7 Library staff and the LSTA Advisory Committee on the LSTA plans and programs. Their
8 role is two-fold: (1) to assure that LSTA continues to coordinate with the overall program
9 and priorities of the State Library and (2) to provide additional opportunities for library users
10 to comment on the program and its direction.

11
12 • ***State Library Commission Committees and Other Advisory Groups and Task Forces***

13 As appropriate, State Library Commission committees are asked to advise the State Library
14 in planning and evaluation activities for the LSTA program. When the State Library
15 Commission committees are not appropriate, other task forces and work groups advise the
16 State Library on LSTA issues. Commission committees include commission members,
17 representatives of the library community and library users, and experts as appropriate to the
18 assigned tasks. Other groups are selected to be representative of key stakeholder groups and
19 experts as needed.

20
21 • ***Proposal Readers and Reading Teams***

22 The State Library and LSTA Advisory Committee ask readers and reading teams to review
23 and evaluate proposals as appropriate.

24
25 • ***Statewide Meetings***

26 As appropriate, the State Library sponsors regional meetings to discuss plans with the library
27 community or a group of representatives of a segment of the community (e.g., youth services
28 librarians). This provides the broader library community with an opportunity to participate
29 in planning the state's LSTA program.

30
31
32 ***Criteria for Eligibility***

33 This section outlines the definitions of those organizations and institutions that are eligible to
34 participate in the Library Services and Technology Act implementation in North Carolina.

35
36 • ***LSTA Definitions of Eligible Libraries***

37 The LSTA includes most libraries of all types in its definition of eligibility for funding. The
38 Library Services and Technology Act gives the State Library Administrative Agency (i.e.,
39 the State Library of North Carolina) the authority to expend funds allotted to the state either
40 directly or through subgrants or cooperative agreements to achieve the purposes of the Act.

41
42 The Act defines the term "library" with a list that includes five types of libraries: a public
43 library; a public elementary or secondary school library; an academic library; a research
44 library; a private library (Sec. 213(2)(A-E). A technical amendment to the legislation added
45 "special library" to this list, but the proposed language does not establish a useful definition
46 to assist the state in determining eligibility.

1
2 • ***Additional State Definitions of Eligible Organizations***

3 The State Library of North Carolina and the LSTA Advisory Committee developed these
4 additional guidelines and definitions to assist in the implementation of the LSTA program in
5 North Carolina. They outline the libraries and organizations that are eligible to apply for and
6 receive LSTA funds; however, specific eligibility will be determined by the priorities in the
7 overall LSTA plan and in annual programs.

8
9 The following are the broad policy guidelines for determining eligibility:

- 10
11 ■ Every library or organization defined as eligible to apply for LSTA funds must be either
12 publicly funded (receive at least 51% of its operating funds from tax dollars) or not-for-
13 profit (recognized as tax-exempt by the Internal Revenue Service).
14
15 ■ An eligible school library must be headed by a full-time certified school media
16 coordinator. Other eligible libraries must be headed by a trained library professional with
17 a masters degree in library and information science from a graduate library education
18 program accredited by the American Library Association or by a regional accrediting
19 organization.
20
21 ■ Every eligible library must have a cataloged collection of information resources,
22 designated space, a materials budget, and be open a minimum of 20 hours per week.
23
24 ■ For collaborative projects one partner must be designated as the “lead” library to accept
25 and administer the grant. The lead library in a collaborative project must meet all
26 eligibility requirements.
27

28 The following are specific definitions for types of libraries that are eligible under North
29 Carolina’s LSTA program:

- 30
31 ■ Public Libraries: Libraries that qualify for grants from the North Carolina Aid to Public
32 Libraries Fund.
33
34 ■ Public School Libraries: Libraries/media centers in elementary or secondary
35 (middle/junior and/or senior high) schools recognized as public schools by North
36 Carolina’s Department of Public Instruction and accredited by the Southern Association
37 of Colleges and Schools. This definition includes libraries in state-approved charter
38 schools. For schools that have chosen not to seek accreditation by the Southern
39 Association of Colleges and Schools, the school library media center must meet or
40 exceed accreditation standards.
41
42 ■ Academic Libraries: Libraries in public or private institutions of higher education —
43 universities, colleges, community colleges, and junior colleges (2-year, 4-year and
44 graduate degree-granting institutions)—accredited by the Southern Association of
45 Colleges and Schools. These are libraries in institutions that are part of The University of
46 North Carolina; libraries in institutions that are part of the North Carolina Community

College System, and libraries in private academic institutions defined as qualifying for North Carolina students to receive legislative tuition grants under G.S. 116-22(1).

- State Library of North Carolina: The State Library is eligible to receive funds to support the administration of the program, to carry out statewide programs, or to improve its services in a manner consistent with the LSTA plans, priorities and policies.
- State Agency Libraries: Libraries that are part of a state government agency, including libraries that serve staff and residents of habilitative and correctional institutions.
- Special Libraries: Libraries operated by professional, scientific, or trade associations, governments, hospitals, or other organizations, agencies or institutions primarily to serve their own specialized clientele. To qualify a special library must be willing to share resources either through public access on site or through interlibrary loan within the state.
- Library Cooperative Organizations: A formally organized cooperative association of libraries that provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers, for improved services for the clientele of such libraries. At least half of the members of the organization must be eligible libraries.
- Library-Related Organizations:
State and local library-related organizations or associations established for the purpose of supporting the programs and services of libraries (e.g. Friends groups, library foundations). To qualify for funding, organizations shall be affiliated with a library defined as eligible to receive LSTA funds.
- State and local professional library associations providing or encouraging professional involvement and continuing education (e.g. North Carolina Library Association).
- Library/media center administrative units of public school districts or institutions of higher education.
- Graduate library education programs accredited by the American Library Association or by a regional accrediting organization.
- National or Regional Library Organizations: Other state library agencies and national or regional not-for-profit library associations and organizations may be eligible to receive LSTA funds for collaborative projects and grants that will benefit North Carolina libraries and the people they serve.

• ***Non-Eligible Organizations***

There are several types of libraries and library-related organizations that are specifically not eligible to receive LSTA grants under North Carolina's plan:

1 ▪ Libraries serving for-profit organizations and federally recognized Indian tribes¹¹ are not
2 eligible to apply directly for funds, but *may* be beneficiaries of collaborative projects that
3 are LSTA-funded. Opportunities for use of LSTA would require partnering with eligible
4 libraries or library-related organizations.

5
6 ▪ Based on the language of the original act passed by Congress, libraries in private
7 elementary and secondary schools are not eligible for funding under the Library Services
8 and Technology Act.

9
10 • ***Other Eligibility Determinants***

11 Specific eligibility requirements will be driven by the priorities that are set in the strategic
12 plan and the annual programs for targeting the funds to achieve the five-year vision and
13 targets.

14
15
16 ***Policies & Procedures for Grant Programs***

17
18 • ***Policy on Use of LSTA Funds for Indirect Costs***

19 LSTA grant awards to subgrantees will not be approved for applications that include indirect
20 costs, administrative overhead, or contingency funds. One of the guiding principles for this
21 plan is “Focus Federal Funding.” The text under this principle states: *Both federal*
22 *requirements and the vision for LSTA in North Carolina indicate that federal funds must*
23 *(1) leverage local dollars and (2) create incentives for the continuous improvement of library*
24 *services statewide.* (Page II-2). While the State Library and the LSTA Advisory Committee
25 recognize that subgrantees incur costs in administering grants, this policy is consistent with
26 the philosophy that guides the LSTA program in North Carolina.

27
28 Libraries or library organizations other than the State Library that administer Statewide
29 Leadership Grants may receive a 5% administrative fee in recognition of the statewide
30 benefit of the project.

31
32 • ***Grant Categories***

33 ▪ **EZ Grants**: Grant programs with clearly defined purposes and outcomes use this
34 simplified application process. The LSTA Advisory Committee sets criteria for each EZ
35 grant program that it approves in the Annual Program for LSTA. State Library staff
36 reviews applications and determines funding decisions based on those criteria. EZ
37 Grants do not require a letter of intent, and applicants have the opportunity to appeal
38 funding decisions to the LSTA Advisory Committee.

39
40 There are two subcategories of EZ Grants:

41 ▫ **EZ Grants**: applications for this grant category use simple forms that require very
42 little information other than a basic description of project plans. Libraries are
43 expected to describe plans that are consistent with grant guidelines in order to qualify
44 for funding.

¹¹ Other LSTA funds are available for federally-recognized tribal libraries.

1
2 ▫ **EZ Expanded Grants**: applications for this grant category require more extensive
3 information about local needs and plans for using the funds.
4

- 5 ▪ **Project Grants**: The State Library in consultation with the LSTA Advisory Committee
6 develops grant programs to advance the LSTA Plan. Grants are awarded for more
7 complex projects that have locally defined outcomes that meet the grant program criteria.
8 Generally, Project Grants award funding at a higher level than EZ grants.
9

10 The Annual Program sets criteria for Project Grants, and the State Library invites
11 applicants to submit Letters of Intent (LOI). The LSTA Advisory Committee reviews the
12 Letters of Intent and makes recommendations based on those criteria following
13 preliminary review by State Library staff. If a library's LOI is approved, then it is invited
14 to submit a full application. State Library staff as well as peer reviewers evaluate full
15 grant applications. The LSTA Advisory Committee reviews the applications and the
16 staff/peer reviewers' ratings and makes its funding recommendations to the State
17 Librarian.
18

- 19 ▪ **Innovation Grants**: Funds are allocated to one or more libraries as the first step in the
20 change process. Projects are designed to test a concept or to demonstrate new
21 approaches or new services. The projects must result in formal reports that are shared
22 with North Carolina's library community and may lead to new grant programs to support
23 replication of the original project.
24

25 The Annual Program sets criteria for Innovation Grants. Letters of Intent (LOI) are
26 invited, and the LSTA Advisory Committee reviews the LOIs and makes
27 recommendations based on those criteria following preliminary review by State Library
28 staff. If a library's LOI is approved, then it is invited to submit a full application. The
29 State Library staff as well as reading teams and/or peer reviewers will review full grant
30 applications. The LSTA Advisory Committee reviews the applications and the staff/peer
31 reviewers' ratings and makes its funding recommendations to the State Librarian.
32

- 33 ▪ **Statewide Leadership Grants**: Funds programs with broad, statewide impact developed
34 by the State Library in response to emerging or broad-based needs and consistent with
35 the LSTA plan and priorities.
36

37 The LSTA Advisory Committee reviews all Statewide Leadership Grant proposals prior
38 to approval for funding.
39

40 A matrix comparing the grant categories is attached.
41
42

43 • ***Annual Grant Timeline***

44 Each year, the State Library uses a sequential process to award grant funds with the
45 following steps:

- 46 ▪ Summer:

- The Annual Program is developed in consultation with the LSTA Advisory Committee. The plan outlines the grants that will be offered for the next year, based on the LSTA plan, priority needs, and the evaluation of the program outcomes to date.
- Fall:
 - First announcement of grant programs for the next fiscal year, with invitation to libraries to submit Letters of Intent.
 - State Library staff and LSTA Advisory Committee evaluate the Letters of Intent and provide feedback that advises applicants whether or not they may submit a full proposal based on the review of the Letters of Intent.
- Winter:
 - Full information on all grant programs that will be offered during the next year is released.
 - State Library provides technical assistance and informal review of drafts for potential applicants.
 - All grant applications are due in February.
- Spring:
 - State Library staff and peer reviewers review and evaluate applications.
 - State Library Senior Management team prepares the State Library's preliminary recommendations to the Advisory Committee.
 - Final review of all proposals by the LSTA Advisory Committee to determine the final projects that they will recommend be funded based on a series of objective criteria.
 - Recommendations on funding are submitted to the State Librarian in May.
 - Unsuccessful applicants for EZ Grants are notified of decisions and their right to appeal.
 - Appeals reviewed by Advisory Committee.¹²
 - Final funding decisions announced in early June.
 - Agreements finalized by July 1, and projects funded for the year begin.
- ***Multiyear Grants***

Beginning with requests for funding during the 2004-2005 year, applicants may propose multiyear projects for selected Project Grant and Innovation Grant programs. The following policies and procedures will guide the implementation of this option:

 - Grant program guidelines will specify whether multiyear grants are an option for applicants.
 - Multiyear Project and Innovation Grants will be funded for a maximum of three years.
 - No project will be guaranteed funding for the second and third years. Factors that will determine funding in second and third years include the availability of federal funds and

¹² In any competitive grant round, unsuccessful grant applicants whose proposals were not reviewed by the LSTA Advisory Committee will be notified that they have the right to appeal decisions regarding funding. The notification will provide a brief window of time in which applicants may appeal the decision of the State Library to the LSTA Advisory Committee. No grant agreements will be executed for a grant round until all appeals are complete.

1 the grantee's effectiveness in managing the project and in providing required reports to
2 the State Library.

- 3 ■ Projects designed to develop new services must demonstrate long-term sustainability that
4 meets specific requirements described in the grant program guidelines.

6 **EVALUATION & MONITORING**

8 ***Overview of the Evaluation Approach***

9 The LSTA component of the Museum and Library Services Act requires ongoing evaluation
10 of the program and its impact on library users and library services. The Institute of Museum and
11 Library Services is promoting the use of outcome-based measurement as a preferred tool for
12 evaluating LSTA programs. Outcome-based evaluation is a model widely used by the United
13 Way and focuses on the impact of funding and the resulting services on the lives of the library's
14 users.

15
16 The five-year evaluation of North Carolina's LSTA program makes some general
17 recommendations about strengthening planning and evaluation in the next five-year cycle. They
18 include:

- 19 1. Improving the objectives by making them:
 - 20 • more ends-oriented (i.e., not describing activities)
 - 21 • more measurable with clear indicators of success
 - 22 • linked to dates for achievement.
- 23 2. Conducting in-depth follow-up studies.
- 24 3. Linking planning and evaluation more closely.
- 25 4. Persuading local libraries to value planning.
- 26 5. Encouraging grant applicants to structure more effective evaluations.

27
28 The State Library staff and Advisory Committee continue to wrestle with designing an
29 evaluation process that meets LSTA's requirements but does not become an end in itself rather
30 than a means to better library services for the people of North Carolina. Some of the questions
31 and challenges posed by the evaluation requirement include:

- 32 1. How do we structure effective evaluation for LSTA when we are offering a number of grants
33 for different purposes to individual libraries or groups of libraries rather than retaining all the
34 funds for statewide programs?
- 35 2. How do we focus on outcomes without having to commit a high percentage of LSTA
36 resources (time and money) to the process?
- 37 3. How do we make sure that evaluation requirements do not become a barrier to libraries
38 applying for LSTA funds?
- 39 4. How do we improve planning and evaluation skills for State Library staff as well as those
40 staff at the local level?
- 41 5. What is reasonable to try to achieve at the State level? The local library?

Evaluation Process

At this point in the planning process, the State Library of North Carolina and the Advisory Committee will take the following steps during the next five years to evaluate LSTA in North Carolina:

1. Continue to refine the plan, its outcomes and outputs, as well as the process for collecting data to provide meaningful evaluation.
2. Test various approaches to evaluating statewide and local projects to determine effective approaches that can be implemented easily by grant managers.
3. Monitor evaluation developments in other states and in other fields to identify potential evaluation models that can be used effectively in a statewide environment.
4. Encourage grant applicants to improve their planning and evaluation.

Monitoring

The State Library will monitor the plan's implementation at two levels:

1. Overall progress toward achieving the plan: the State Library staff will provide a summary report to the Advisory Committee on its progress annually.
2. Individual grantee progress in grant implementation: The State Library's Library Development Section staff maintains liaison relationships with libraries of all types throughout the state. As part of this program, the staff visits libraries that have received grants to review their progress in implementation. Individual libraries also provide informal and formal reports to the State Library.

ADDITIONAL POLICIES AND PLANS

Use of LSTA Funds for Administrative Purposes

Under the terms of LSTA, the State Library is authorized to use up to 4% of the state's allotment to support administration of the program. It is anticipated that the following expenditures will be required to support the program:

- Indirect costs required by the Department of Cultural Resources,
- Costs of convening meetings of the LSTA Advisory Committee and other advisory groups such as reading teams,
- Contractual services to labor consultants to monitor wage and hour rates for all active LSCA Title II construction projects until all projects are completed,
- Costs associated with LSTA program administration such as printing, postage, supplies, etc.,
- Costs associated with training to support implementation of LSTA, including grant writing workshops, evaluation workshops, and training for grant reviewers,
- Costs associated with convening periodic regional meetings associated with LSTA needs assessments and planning,

- 1 • State Library staff travel costs associated with various LSTA statewide, regional, and
2 national activities,
3
- 4 • Costs associated with contracted consultant services with an outside evaluator to prepare and
5 conduct a summative evaluation of the 5-years of LSTA programs as required by the LSTA
6 Act, and
7
- 8 • Other consulting costs associated with the administration of the program.
9

10 ***Communication & Plan Availability to Public***

11 The State Library will make the full contents of its plan available via the Internet by posting
12 it on its Web site. Print copies will be available for review, and summaries will be distributed to
13 the library community.
14

15 The need for improved communication is cited in the 2001 evaluation report. The State Library
16 staff is planning to take the following steps to provide better information about the LSTA
17 program in North Carolina:

- 18 • Preparing twice yearly supplements on LSTA to the quarterly newsletter *Tar Heel Libraries*,
19 which is a joint venture of the State Library and the North Carolina Library Association
20 (NCLA).
- 21 • Reporting regularly on LSTA plans and activities to outside groups, such as the NCLA
22 Executive Board, various groups of library directors, the State Library Commission, special
23 interest professional groups (e.g., Children's Services Section of NCLA).
- 24 • On a continuing basis, seek ways to provide effective web resources on the LSTA program.

APPENDIX A

LSTA Grant Categories Matrix

	EZ	EZ Expanded	Project	Innovation
Grant Category	Grant programs with clearly defined purposes and outcomes	Grant programs with clearly defined purposes and outcomes	More complex projects that have locally defined outcomes	Projects designed to test a concept or to demonstrate new approaches or new services
Funding Level	Low to Moderate	Low to Moderate	Moderate to High	Moderate to High
Multi-Year Projects	No	No	Yes	Yes
Collaborative Proposals Receive Greater Weight	No	No	Yes	Yes
Letter of Intent required	No	No	Yes	Yes
Application Process	Simple form with basic description of project plan	Simple form expanded to provide more extensive information about local needs and plans	<ul style="list-style-type: none"> • Documented need or problem (needs assessment) • Clear goal • Specific measurable objectives • Realistic clear action plan • Well developed budget • Effective evaluation 	<ul style="list-style-type: none"> • Documented need or problem (needs assessment) • Clear goal • Specific measurable objectives • Realistic clear action plan • Well developed budget • Effective evaluation
Applications reviewed by	State Library staff	State Library staff, and sometimes peer reviewers	State Library staff and peer reviewers	State Library staff and reading teams and/or peer reviewers
Determine funding decision	State Library staff	State Library staff	LSTA Advisory Committee makes funding recommendation to State Librarian	LSTA Advisory Committee makes funding recommendation to State Librarian
Opportunity to appeal	Yes	Yes	No	No